



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/501,302	03/21/2005	Lars Neupart	606-74-PCT-PA	9636
22145	7590	10/30/2006		EXAMINER
				CHEN, SHIN HON
			ART UNIT	PAPER NUMBER
				2131

DATE MAILED: 10/30/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>
	10/501,302	NEUPART, LARS
Examiner	Art Unit	
Shin-Hon Chen	2131	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

1)  Responsive to communication(s) filed on 15 August 2005.

2a)  This action is **FINAL**.                            2b)  This action is non-final.

3)  Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

4)  Claim(s) 1-8 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5)  Claim(s) \_\_\_\_\_ is/are allowed.

6)  Claim(s) 1-8 is/are rejected.

7)  Claim(s) \_\_\_\_\_ is/are objected to.

8)  Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

9)  The specification is objected to by the Examiner.

10)  The drawing(s) filed on 12 July 2004 is/are: a)  accepted or b)  objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)  The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)  Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a)  All    b)  Some \* c)  None of:  
1.  Certified copies of the priority documents have been received.  
2.  Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3.  Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

1)  Notice of References Cited (PTO-892)  
2)  Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3)  Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 9/24/04

4)  Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_ .

5)  Notice of Informal Patent Application

6)  Other:

## DETAILED ACTION

1. Claims 1-8 have been examined.

### *Claim Rejections - 35 USC § 102*

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-8 are rejected under 35 U.S.C. 102(e) as being clearly anticipated by Lineman et al. U.S. Pat. No. 20030065942 (hereinafter Lineman).

4. As per claim 1, Lineman discloses a computer system for providing security awareness in an organization, comprising: a memory means, constituted by a hard disk or Random Access Memory device, a central processor unit connected to said memory means, an input device, constituted by a mouse or keyboard device, connected to said central processor unit, for the input of a piece of security information into said computer system for storing said security information in said memory means as an information security object (Lineman: [0032]: creating security policy document), an output device, constituted by a printer or display device, connected to said central processor unit for the output of security information (Lineman: figure 4A and 4B), a policy module communicating with said input device and said memory means for the conversion of said piece of security information into said information security object to be stored in said

memory means (Lineman: [0033]: creating two forms of security policies), and a survey module communicating with said memory means and said output means for generating from said information security object an element of a questionnaire to be output by means of said output device (Lineman: [0036]: quiz associated with security policy document and figure 2).

5. As per claim 2, Lineman discloses the computer system according to claim 1. Lineman further discloses the system comprising an educational module communicating with said memory means for receiving through said input device a set of answers to said questionnaire and for comparing said set of answers of said questionnaire with said information security objects for determining the correct and the incorrect answers, and generating, based on said incorrect answers, an educational program to be output by means of said output device (Lineman: [0075]: score the quizzes; [0082]: target the weakness that needs to be addressed).

6. As per claim 3, Lineman discloses the computer system according to claim 2. Lineman further discloses said set of answers being stored in said memory means (Lineman: [0075]: determine the score).

7. As per claim 4, Lineman discloses the computer system according to any of the claims 1-3. Lineman further discloses said memory means being organized as a database (Lineman: [0052]).

8. As per claim 5, Lineman discloses the computer system according to any of the claims 1-3. Lineman further discloses said computer system constituting a stand alone computer or alternatively a computer system including a network and a plurality of PC's each including an input device and an output device to be operated by a respective user (Lineman: [0026]: enterprise network).

9. As per claim 6, Lineman discloses the computer system according to any of the claims 1-3. Lineman further discloses said central processor unit controls in said conversion of said piece of said security information into said information security object, said policy module to check in said memory means the possible presence of a corresponding security information object (Lineman: figure 2 and [0032]).

10. As per claim 7, Lineman discloses a method of providing security awareness in an organization, comprising the steps of providing a piece of security information (Lineman: [0032] and figure 2), storing said piece of security information in a memory means as an information security object, said information security object being generated in a policy module (Lineman: [0032]), generating in a survey module an element of a questionnaire from said information security object and output said questionnaire including said element (Lineman: [0036]).

11. As per claim 8, Lineman discloses the method according to claim 7. Lineman further discloses the method comprising the computer system according to any of the claims 1-3 (Lineman: [0026] and [0031]).

***Conclusion***

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Baggett, Jr. et al. U.S. Pat. No. 6925443 discloses method for assessing information security.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Shin-Hon Chen whose telephone number is (571) 272-3789. The examiner can normally be reached on Monday through Friday 8:30am to 5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Shin-Hon Chen

Application/Control Number: 10/501,302  
Art Unit: 2131

Page 6

Examiner  
Art Unit 2131

SC

CHRISTOPHER REVAK  
PRIMARY EXAMINER

Att 10/26/06